基于可能度容差关系的多粒度粗糙决策分析方法 *

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摘 要:在不完备区间值决策信息系统中,针对可能度容差关系和多粒度决策粗糙集的各自优点,提出一种基于可能 度容差关系的多粒度决策粗糙模型。首先提出可能度的概念,定义新的容差关系;然后构建了基于可能度容差关系的 乐观和悲观多粒度决策粗糙集模型,给出模型的上下近似,并对相关性质和定理进行证明;最后以实例验证了模型的 有效性与适用性。结果表明,通过调整属性相似度阈值ω,可使模型具有一定的容错能力和很强的分类能力。

关键词: 不完备区间值决策信息系统; 容差关系; 粗糙集

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Rough analysis method of multi-granularity decision rough set based on possible degree tolerance relation

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Abstract: According to the advantages of multi-granularity rough set and possible degree tolerance relation, this paper proposed a rough set based on possible degree tolerance relationship. Firstly, it came up with possible degree and proposed the possible degree tolerance relation. Then, based on possible degree tolerance relation, it defined the optimistic and pessimistic multi-granulation decision rough set. And relevant theorems and properties are proved in the incomplete interval-valued information system. Finally, by use of a case, verify that the new method has feasibility and effectiveness. The experimental results show that the multi-granularity decision rough set based on possible degree tolerance relation has a fault tolerance and strong classification ability by adjusting the parameter ω .

Key words: incomplete interval-valued decision information system; tolerance relation; rough set

0 引言

粗糙集作为分析处理不确定性的数学工具,已被广泛应用于众多领域[1-4]。经典粗糙集模型[5·6]基于等价关系处理完备的离散型信息系统。而现实生活中,本文面对的信息系统除了包含离散型数据外,很多测量值都表示为一定范围内的区间值,且往往是不完备的,这就使得传统粗糙集在实际应用中存在一定局限性。为解决这一问题,众多学者对传统粗糙集模型进行扩展[7-10]。Yang[11]以不完备区间值信息系统为研究对象,构建了基于 α -优势关系的粗糙集模型,并通过给定判断定理和可辨别函数,来计算粗糙集的下近似和上近似。Dai[12]等进一步在不完备区间值信息系统中定义了最大和最小相似度,并基于属性相似度构建了基于 α -弱相似关系的粗糙集模型,以评估不完备区间值信息系统中的不确定性。

当前对不完备区间值信息系统的研究中, 大部分学者主要

用优势关系^[13-15]代替等价关系来处理缺失值。部分学者从属性集的相容度、差异度和对立度的角度定义相似度容差关系,并以此关系建立粗糙集模型^[16-17]。Dai^[18]等在不完备区间值信息系统中提出可能度容差关系,有效解决了不完备区间值信息系统的缺失值问题。从粒计算的角度来看,上述基于不完备区间值信息系统的粗糙模型都是从单个等价关系或单个优势关系来对论域进行分类,无法从多粒度、多层次的角度对问题进行分析和处理。Qian 等人^[19]提出多粒度粗糙集,采用一族不可分辨关系对目标进行逼近,包括乐观多粒度粗糙集和悲观多粒度粗糙集。在此基础上,学者们提出了各种扩展模型^[20-23]。Sang 等人^[24]利用贝叶斯决策理论分析了多粒度粗糙集模型中的概率融合关系,构建了乐观多粒度决策粗糙集模型和悲观多粒度决策粗糙集模型。

针对不完备区间值决策信息系统,本文将可能度容差关系引入多粒度决策粗糙模型中,构建新的多粒度决策粗糙模型,

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验证了模型的相关性质,并对模型的定理进行证明。同时,研究了属性相似度阈值 ω 的变化对分类的影响。该模型综合了可能度容差关系和多粒度决策粗糙集的优点,有效

拓展了模型的适用范围,理论分析和实验结果均证明了该 方法的有效性和实用性。

1 基本概念

1.1 不完备区间值决策信息系统

定义 1^[16] 信息系统为一四元组 $K = (U, A = C \cup D, V, f)$,其中 $U = \{x_1, x_2, ..., x_n\}$ 为有限对象集,称为论域; C 为条件属性集, D 为决策属性集; $f = \{f_k : k \le m\}$ 为对象属性映射集,其中 $f_k : U \to V_k (k \le m)$, V_k 是属性 a_k 的有限值域,即 $x_i \in U$, $f_k(x_i)$ $\in V_k$; $V = \bigcup_{a_k \in A} V_k$ 称为全体属性值域。若 $f_k(x_i) = [l_i^k, r_i^k]$, $l_i^k \le r_i^k$,

则称 K 是区间值决策信息系统。若存在 $x_i \in U, a_k \in A$, $f_k(x_i) = *$ ("*"表示缺失值),则表明对象 x_i 在属性 a_k 上的值未知,此时称 K 是不完备区间值决策信息系统。

1.2 多粒度决策粗糙集

设 $K = (U, A = C \cup D, V, f)$ 是一完备决策信息系统,其中 $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上的 m 个属性子集, $\Omega = \{\omega_1, \omega_2, ..., \omega_s\}$ 是 s 个有限状态集, $A = \{a_1, a_2, ..., a_m\}$ 是 n 个有限行动集,其中 $\lambda_k(a_i \mid \omega_j)$ 表示第 k 个粒结构在状态 ω_j 下采取行动 a_i 的风险代价: $P(\omega_j \mid x_k)$ 为第 k 个粒结构下对象 x 在状态 ω_j 下的条件概率,假设 $\lambda_k(a_i \mid \omega_j) = \lambda_l(a_i \mid \omega_j)$,可以得到给定对象 x 在 m 个粒度结构下采取行动期望风险为

$$R(a_i \mid x_1, x_2, ..., x_m) = \sum_{k=1}^{m} \lambda_k (a_i \mid \omega_j) P_{\sum_{i=1}^{k} R_i} (\omega_j \mid x_1, x_2, ..., x_m)$$

其中: $\sum_{j=R_i}^{P_i} (\omega_j \mid x_1, x_2, ..., x_m)$ 是不同多粒度融合策略下的概率统

一表示形式。

设状态集 $\Omega = \{X, X^c\}$, 给定m 个粒结构, 其中决策行动包括正域决策(POS(X))、负域决策(NEG(X))和边界决策(BND(X)),记决策集为 $\{a_1,a_2,a_3\}$,其对应的期望损失分别为

$$\begin{split} R_1 &= R(a_1 \mid x_1, x_2, ..., x_m) = \\ \lambda_{11} P_{\substack{m \\ \sum_{i=1}^{m} R_i}} (X \mid x_1, x_2, ..., x_m) + \lambda_{12} P_{\substack{m \\ \sum_{i=1}^{m} R_i}} (X^c \mid x_1, x_2, ..., x_m) \\ R_2 &= R(a_2 \mid x_1, x_2, ..., x_m) = \\ \lambda_{21} P_{\substack{m \\ \sum_{i=1}^{m} R_i}} (X \mid x_1, x_2, ..., x_m) + \lambda_{22} P_{\substack{m \\ \sum_{i=1}^{m} R_i}} (X^c \mid x_1, x_2, ..., x_m) \\ R_3 &= R(a_3 \mid x_1, x_2, ..., x_m) = \\ \lambda_{31} P_{\substack{m \\ \sum_{i=1}^{m} R_i}} (X \mid x_1, x_2, ..., x_m) + \lambda_{32} P_{\substack{m \\ \sum_{i=1}^{m} R_i}} (X^c \mid x_1, x_2, ..., x_m) \end{split}$$

其中: $\lambda_{i_1} = \lambda(a_i|X)$, $\lambda_{i_2} = \lambda(a_i|X^c)$, i = 1, 2, 3。 决策代价函数 值的大小满足 $\lambda_{i_1} \le \lambda_{i_1} \le \lambda_{i_2}$, $\lambda_{i_2} \le \lambda_{i_2}$, 决策规则如下:

$$P_{\sum_{i=1}^{m} R_i}(X \mid x_1, x_2, ..., x_m) \ge \alpha, x \in POS(X)$$

$$P_{\substack{m \\ \sum R_i}}(X | x_1, x_2, ..., x_m) \le \beta, x \in NEG(X)$$

$$\beta < P_{\sum_{i=1}^{m} R_i}(X | x_1, x_2, ..., x_m) < \alpha, x \in BND(X)$$

其中:
$$\alpha = \frac{\lambda_{12} - \lambda_{32}}{(\lambda_{31} - \lambda_{32}) - (\lambda_{11} - \lambda_{12})}$$
, $\gamma = \frac{\lambda_{12} - \lambda_{22}}{(\lambda_{21} - \lambda_{22}) - (\lambda_{11} - \lambda_{12})}$,

$$\beta = \frac{\lambda_{32} - \lambda_{22}}{(\lambda_{21} - \lambda_{22}) - (\lambda_{31} - \lambda_{32})} , \quad 0 \le \beta < \gamma < \alpha \le 1$$

定义 2^[19] 设 $K = (U, A = C \cup D, V, f)$ 是一完备决策信息系统,给定 m 个粒度结构 $R_1, R_2, ..., R_m \subseteq C$, $\forall X \subseteq U$, 其中 $0 \le \beta < \alpha \le 1$,则乐观多粒度决策粗糙集的下近似、上近似和边界区定义为

$$\sum_{i=1}^{m} R_{i}^{(O,\alpha)}(X) = \{x : P(X | [x]_{R_{i}}) \ge \alpha \lor P(X | [x]_{R_{2}}) \ge \alpha \lor P(X | [x]_{R_{2}})$$

$$\dots \vee P(\mathbf{X}|[x]_{R_{-}}) \geq \alpha, x \in U$$

$$\sum\nolimits_{i=1}^{m} R_{i}^{(O,\beta)}(X) = U - \{x : P(X|[x]_{R_{i}}) \le \beta \land P(X|[x]_{R_{2}}) \le \beta \land P(X|[x]_{R_{2}})$$

$$\dots \wedge P(X|[x]_{R_m}) \leq \beta, x \in U$$

$$BN_{\sum_{i=1}^{m}R_{i}}^{O} = \overline{\sum_{i=1}^{m}R_{i}^{(O,\beta)}}(X) - \underline{\sum_{i=1}^{m}R_{i}^{(O,\alpha)}}(X)$$
 (1)

其中: $P(X|[x]_{R_m}) = \frac{|[x]_{R_m} \cap X|}{|[x]_R|}$ 为条件概率。

定义 3^[19] 设 $K = (U, A = C \cup D, V, f)$ 是一完备决策信息系统,给定 m 个粒度结构 $R_1, R_2, ..., R_m \subseteq C$, $\forall X \subseteq U$, 其中 $0 \le \beta < \alpha \le 1$,则悲观多粒度决策粗糙集的下近似、上近似和边界区定义为

$$\sum_{i=1}^{m} R_{i}^{(P,\alpha)}(X) = \{x : P(X|[x]_{R_{i}}) \ge \alpha \land P(X|[x]_{R_{2}}) \ge \alpha \land P(X|[x]_{R_{2}})$$

$$\dots \wedge P(X|[x]_{R_{\infty}}) \ge \alpha, x \in U$$

$$\overline{\sum_{i=1}^{m} R_{i}^{(P,\beta)}}(X) = U - \{x: P(X|[x]_{R_{i}}) \le \beta \lor P(X|[x]_{R_{i}})$$

$$\dots \vee P(X|[x]_{R_{-}}) \leq \beta, x \in U$$

$$BN_{\sum_{i=1}^{m} R_{i}}^{p} = \overline{\sum_{i=1}^{m} R_{i}^{(P,\beta)}}(X) - \sum_{i=1}^{m} R_{i}^{(P,\alpha)}(X)$$
 (2)

2 基于可能度容差关系的多粒度决策粗糙集

定义 4^[18] 设 $K = (U, A = C \cup D, V, f)$ 是一不完备区间值决策信息系统, $a_k \in C$, x_i , x_j 为U 中的任意两个对象,当 x_i , x_i 关于属性 a_k 的属性值均不为单值时,则 x_i , x_i

关于属性 a_k 的相似可能度 $P_{(x^{a_k} \ge x^{a_k})}$ 定义为

$$P_{(x_{i}^{n_{k}} \geq x_{j}^{n_{k}})} = \begin{cases} \min\{1, \max(\frac{r_{i}^{k} - l_{j}^{k}}{r_{i}^{k} - l_{i}^{k} + r_{j}^{k} - l_{j}^{k}}, 0)\}, f(x_{i}, a_{k}) = [l_{i}^{k}, r_{i}^{k}] \neq *, f(x_{j}, a_{k}) = [l_{j}^{k}, r_{j}^{k}] \neq * \\ \min\{1, \max(\frac{r_{\max}^{k} - l_{j}^{k}}{r_{\max}^{k} - l_{\min}^{k} + r_{j}^{k} - l_{j}^{k}}, 0)\}, f(x_{i}, a_{k}) = *, f(x_{j}, a_{s}) = [l_{j}^{k}, r_{j}^{k}] \end{cases}$$

$$\min\{1, \max(\frac{r_{i}^{k} - l_{\min}^{k}}{r_{i}^{k} - l_{\min}^{k} - l_{\min}^{k}}, 0)\}, f(x_{i}, a_{k}) = [l_{i}^{k}, r_{i}^{k}], f(x_{j}, a_{k}) = * \\ 1, f(x_{i}, a_{k}) = *, f(x_{j}, a_{k}) = * \overrightarrow{\mathbb{E}} f(x_{i}, a_{k}) = f(x_{j}, a_{k}) \end{cases}$$

$$(3)$$

当 x_i , x_j 关于属性 a_k 的属性值均为单值时,两对象属性值若相等,则 x_i , x_j 关于属性 a_k 的相似可能程度为 1,不相等则为 0。

定义 5 设 $K = (U, A = C \cup D, V, f)$ 是一不完备区间值决策信息系统, $a_k \in C$, x_i , x_j 为U中的任意两个对象,当 x_i , x_j 关于属性 a_k 的属性值均不为单值时,则 x_i , x_j 关于属性 a_k 的相似度定义为

$$S_{ij} = 1 - \left| P_{(x_i^{a_k} \ge x_i^{a_k})} - P_{(x_i^{a_k} \ge x_i^{a_k})} \right| \tag{4}$$

其中: $P_{(x_i^{a_k} \geq x_j^{a_k})}$ 是 x_i , x_j 关于属性 a_k 的属性值均不为单值时,

定义 6 给定一不完备区间值决策信息系统 $K = (U, A = C \cup D, V, f\}$,对于 $a_k \in C$, ω $(0 \le \omega \le 1)$ 是给定相似度阈值,

 x_i , x_i 关于属性 a_k 的相似可能度, |P| 为集合 P 的基数。

基于不完备区间值信息系统上的容差关系定义为

$$\Gamma_A^{\omega}(X) = \{(x_i, x_i) \in U^2 | S_{ii} \ge \omega, \forall a_k \in C\}$$
 (5)

显然: Γ"满足自反性、对称性, 但不满足传递性。

定义 7 设 $K = (U, A = C \cup D, V, f)$ 是一不完备区间值决策信息系统, $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上的 m 个属性子集, $\forall X \subseteq U$, $a_k \in C$, ω 是给定相似度阈值,且 $0 \le \omega \le 1$, $0 \le \beta < \alpha \le 1$,则基于可能度容差关系的多粒度决策粗糙集的下近似、上近似和边界区定义为:

$$R_i^{(\omega,\alpha)}(X) = \{x | P(X | \Gamma_R^{\omega}(x)) \ge \alpha, x \in U\}$$

$$\overline{R_i}^{(\omega,\beta)}(X) = \{x \mid P(X \mid \Gamma_{R_i}^{\omega}(x)) > \beta, x \in U\}$$

$$BN_{\sum_{i=1}^{m}R_{i}}^{(\omega)} = \overline{\sum_{i=1}^{m}R_{i}^{(\omega,\beta)}}(X) - \underline{\sum_{i=1}^{m}R_{i}^{(\omega,\alpha)}}(X)$$
 (6)

其中: $P(X|\Gamma_{R_i}^{\omega}(x)) = \frac{|\Gamma_{R_i}^{\omega}(x) \cap X|}{|\Gamma_{R_i}^{\omega}(x)|}$ 为条件概率。

定义 8 设 $K = (U, A = C \cup D, V, f)$ 是不完备区间值决策信息系统, $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上的 m 个属性子集, $\forall X \subseteq U$, $a_k \in C$, ω 是给定相似度阈值,且 $0 \le \omega \le 1$, $0 \le \beta < \alpha \le 1$,则基于可能度容差关系的乐观多粒度决策粗糙集的下近似、上近似和边界区定义为

$$\sum\nolimits_{i=1}^{m}R_{i}^{(O,\omega,\alpha)}(X) = \left\{x: P(X \big| \Gamma_{R_{1}}^{\omega}(x)) \geq \alpha \vee P(X \big| \Gamma_{R_{2}}^{\omega}(x)) \geq \alpha \right\}$$

 $\vee ... \vee P(X|\Gamma_{R_m}^{\omega}(x)) \geq \alpha, x \in U$

$$\overline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}}(X) = U - \{x: P(X|\Gamma_{R_{i}}^{\omega}(x)) \le \beta \land P(X|\Gamma_{R_{o}}^{\omega}(x)) \le \beta$$

 $\wedge ... \wedge P(X|\Gamma_{R_m}^{\omega}(x)) \leq \beta, x \in U\}$

$$BN_{\sum_{i=1}^{m}R_{i}}^{(O,\omega)} = \overline{\sum_{i=1}^{m}R_{i}^{(O,\omega,\beta)}}(X) - \underline{\sum_{i=1}^{m}R_{i}^{(O,\omega,\alpha)}}(X)$$
 (7)

可以看出,当 $\alpha=1,\beta=0$ 时,基于可能度容差关系的乐观多粒度决策粗糙集将退化为可能度容差关系下的乐观多粒度粗糙集。

定理 1 给 定 一 不 完 备 区 间 值 决 策 信 息 系 统 $K = \{U, A = C \cup D, V, f\}$, $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上 的 m 个属性子集, $\forall X \subseteq U$, $a_k \in C$, ω 是给定相似度阈值,

且
$$0 \le \omega \le 1$$
, $0 \le \beta < \alpha \le 1$, 可知, $\overline{\sum_{i=1}^m R_i^{(O,\omega,\beta)}}(X) = \bigcup_{i=1}^m \overline{R_i}^{(\omega,\beta)}(X)$ 。

证明 対
$$\forall x \in \overline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}}(X) \Leftrightarrow$$

$$U - \{x: P(X|\Gamma_{R_1}^{\omega}(x)) \le \beta \land P(X|\Gamma_{R_2}^{\omega}(x)) \le \beta \land$$

...
$$\wedge P(X|\Gamma_R^{\omega}(x)) \leq \beta, x \in U$$
 \Leftrightarrow

 $x \in \{x : P(X \big| \Gamma_{R_1}^{\omega}(x)) > \beta \lor P(X \big| \Gamma_{R_2}^{\omega}(x)) > \beta \lor$

...
$$\vee P(X|\Gamma_{R_m}^{\omega}(x)) > \beta, x \in U\}$$
 \Leftrightarrow

 ${x:P(X|\Gamma_{R_1}^{\omega}(x))>\beta, x\in U}\vee {x:P(X|\Gamma_{R_2}^{\omega}(x))>\beta,$

$$x \in U$$
} $\vee ... \vee \{x:P(X|\Gamma_{R_m}^{\omega}(x)) > \beta, x \in U\} \Leftrightarrow$

$$x \in \{\overline{R_1}^{(\omega,\beta)}(X) \vee \overline{R_2}^{(\omega,\beta)}(X) \vee ... \vee \overline{R_m}^{(\omega,\beta)}(X)\} \Leftrightarrow$$
$$x \in \bigcup_{i=1}^m \overline{R_i}^{(\omega,\beta)}(X)$$

所以,
$$\overline{\sum_{i=1}^m R_i^{(O,\omega,\beta)}}(X) = \bigcup_{i=1}^m \overline{R_i}^{(\omega,\beta)}(X)$$
。

由定理1可知,基于可能度容差关系的乐观多粒度决策粗 糙集的上近似是各粒度分类规则下的上近似集合的并。

定义 9 设 $K = (U, A = C \cup D, V, f)$ 是一不完备的区间值决策信息系统, $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上的 m 个属性子集,对于 $\forall X \subseteq U$, $a_k \in C$, ω 是给定相似度阈值,且 $0 \le \omega \le 1$, $0 \le \beta < \alpha \le 1$, 则基于可能度容差关系的悲观多粒度决策粗糙集的下近似,上近似和边界区定义为

$$\sum\nolimits_{i=1}^{m}R_{i}^{(P,\,\omega,\alpha)}(X) = \{x:P(X\big|\Gamma_{R_{i}}^{\omega}(x)) \geq \alpha \land P(X\big|\Gamma_{R_{i}}^{\omega}(x)) \geq \alpha$$

$$\wedge ... \wedge P(X|\Gamma_{R_{-}}^{\omega}(x)) \geq \alpha, x \in U$$

$$\overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}(X)} = U - \{x: P(X|\Gamma_{R_{i}}^{\omega}(x)) \le \beta \lor P(X|\Gamma_{R_{i}}^{\omega}(x)) \le \beta$$

$$\vee ... \vee P(X|\Gamma_{R_m}^{\omega}(x)) \leq \beta, x \in U$$

$$BN_{\sum_{i=1}^{m}R_{i}^{(P,\omega)}}^{(P,\omega)} = \overline{\sum_{i=1}^{m}R_{i}^{(P,\omega,\beta)}}(X) - \underline{\sum_{i=1}^{m}R_{i}^{(P,\omega,\alpha)}}(X)$$
(8)

可以看出,当 $\alpha=1,\beta=0$ 时,基于可能度容差关系的悲观多粒度决策粗糙集将退化为可能度容差关系下的悲观多粒度粗糙集。

定理 2 给 定 一 不 完 备 区 间 值 决 策 信 息 系 统 $K = (U, A = C \cup D, V, f)$, $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上 的 m 个属性子集, $\forall X \subseteq U$, $a_k \in C$, ω 是给定相似度阈值,

且 $0 \le \omega \le 1$, $0 \le \beta < \alpha \le 1$, 可知, $\overline{\sum_{i=1}^m R_i^{(P,\omega,\beta)}}(X) = \bigcap_{i=1}^m \overline{R_i^{(\omega,\beta)}}(X)$ 。

证明 对
$$\forall x \in \overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(X)$$
 \Leftrightarrow

$$U - \{x: P(X \big| \Gamma_{R_1}^{\omega}(x)) \le \beta \lor P(X \big| \Gamma_{R_2}^{\omega}(x)) \le \beta \lor$$

...
$$\vee P(X|\Gamma_{R_{m}}^{\omega}(x)) \leq \beta, x \in U\} \Leftrightarrow$$

$$x \in \{x: P(X | \Gamma_{R_1}^{\omega}(x)) > \beta \land P(X | \Gamma_{R_2}^{\omega}(x)) > \beta \land A(X | \Gamma_{R_2}^{\omega}(x)$$

...
$$\wedge P(X|\Gamma_{R_{-}}^{\omega}(x)) > \beta, x \in U\} \Leftrightarrow$$

 $x \in \{x: P(X|\Gamma_{R_i}^{\omega}(x)) > \beta, x \in U\} \land \{x: P(X|\Gamma_{R_i}^{\omega}(x)) > \beta\}$

$$, x \in U \} \land ... \land \{x : P(X | \Gamma_{R_m}^{\omega}(x)) > \beta, x \in U \} \Leftrightarrow$$

$$x \in \{\overline{R_1}^{(\omega,\beta)}(X) \land \overline{R_2}^{(\omega,\beta)}(X) \land \dots \land \overline{R_m}^{(\omega,\beta)}(X)\} \Leftrightarrow$$
$$x \in \bigcap_{i=1}^m \overline{R_i}^{(\omega,\beta)}(X)$$

所以
$$\overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(X) = \bigcap_{i=1}^{m} \overline{R_{i}}^{(\omega,\beta)}(X)$$

由定理1可知,基于可能度容差关系的悲观多粒度决策粗 糙集的上近似是各粒度分类规则下的上近似集合的交。

定理 3 给定一不完备区间值决策信息系统 $K = (U, A = C \cup D, V, f)$, $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上的 m 个属性子集, $\forall X \subseteq U$, $a_k \in C$, ω 是给定相似度阈值,且 $0 \le \omega \le 1$, $0 \le \beta < \alpha \le 1$,基于可能度容差关系的多粒度决策 粗糙集模型具有如下性质:

$$\underline{\sum\nolimits_{i=1}^{m}R_{i}^{(O,\omega,\alpha)}}(\varnothing)=\overline{\sum\nolimits_{i=1}^{m}R_{i}^{(O,\omega,\beta)}}(\varnothing)=\varnothing$$

$$\underline{\sum}_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}(U) = \overline{\sum}_{i=1}^{m} R_{i}^{(O,\omega,\beta)}(U) = U$$

$$\underline{\sum\nolimits_{i=1}^{m}R_{i}^{(P,\omega,\alpha)}}(\varnothing)=\overline{\sum\nolimits_{i=1}^{m}R_{i}^{(P,\omega,\beta)}}(\varnothing)=\varnothing$$

$$\sum_{i=1}^{m} R_i^{(P,\omega,\alpha)}(U) = \overline{\sum_{i=1}^{m} R_i^{(P,\omega,\beta)}}(U) = U$$

证明: 由定义 7-9 易证。

定理 4 给 定 一 不 完 备 区 间 值 决 策 信 息 系 统 $K = (U, A = C \cup D, V, f)$, $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上 的 m 个属性子集, $\forall X \subseteq U$, $a_k \in C$, ω 是给定属性相似度阈 值且 $0 \le \omega \le 1$, $0 \le \beta < \alpha \le 1$, 可知

a)
$$\underline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}}(X) \supseteq \underline{R_{i}^{(\omega,\alpha)}}(X)$$

b)
$$\overline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}}(X) \subseteq \overline{R_{i}}^{(\omega,\beta)}(X)$$

c)
$$\underline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\alpha)}}(X) \subseteq \underline{R_{i}}^{(\omega,\alpha)}(X)$$

d)
$$\overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(X) \supseteq \overline{R_{i}^{(\omega,\beta)}}(X)$$

其中, $i = \{1, 2, 3, ...m\}$

证明 a) 对
$$x \in R_i^{(\omega,\alpha)}(X)$$
, $i = \{1,2,3,...m\}$ \Leftrightarrow

$$x \in X, P(X|\Gamma_{R_i}^{\omega}(x)) \ge \alpha$$

$$\Rightarrow x \in X, P(X|\Gamma_{R_i}^{\omega}(x)) \ge \alpha \vee P(X|\Gamma_{R_i}^{\omega}(x)) \ge \alpha \vee$$

$$... \lor P(X|\Gamma_{R_{-}}^{\omega}(x)) \ge \alpha$$

$$\Rightarrow x \in \underline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}}(X)$$

所以,
$$\sum_{i=1}^{m} R_i^{(O,\omega,\alpha)}(X) \supseteq \underline{R_i}^{(\omega,\alpha)}(X)$$

b)
$$\overrightarrow{X}$$
 $x \in \overline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}}(X), i = \{1,2,3,...m\} \Leftrightarrow$

 $U - \{x: P(X|\Gamma_{R}^{\omega}(x)) \le \beta \land P(X|\Gamma_{R}^{\omega}(x)) \le$

...
$$\wedge P(X|\Gamma_{R_{-}}^{\omega}(x)) \leq \beta, x \in U$$

$$\Rightarrow x \in X, \left\{ P(X | \Gamma_{R_1}^{\omega}(x)) \ge \beta \lor P(X | \Gamma_{R_2}^{\omega}(x)) \ge \beta \lor \right.$$

...
$$\vee P(X|\Gamma_{R_m}^{\omega}(x)) \ge \beta$$
 $\Rightarrow x \in \overline{R_i}^{(\omega,\beta)}(X)$

所以,
$$\overline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}}(X) \subseteq \overline{R_{i}}^{(\omega,\beta)}(X)$$
°

同理可证(3)、(4)。

定义 10 设 $K = (U, A = C \cup D, V, f)$ 是一不完备的区间值 决策信息系统, $R = \{R_1, R_2, ..., R_m\}$ 是条件属性集 C 上的 m 个属性子集,对于 $\forall X \subseteq U$, $a_k \in C$, ω 是属性相似度阈值,且 $0 \le \omega \le 1$, $0 \le \beta < \alpha \le 1$,则集合 X 在乐观与悲观条件下的分类精度分别定义为

$$\alpha_{R}^{(O,\alpha,\beta)}(X) = \frac{\left| \sum_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}(X) \right|}{\left| \sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}(X) \right|}$$

$$\alpha_{R}^{(P,\alpha,\beta)}(X) = \frac{\left| \sum_{i=1}^{m} R_{i}^{(P,\omega,\alpha)}(X) \right|}{\left| \sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}(X) \right|}$$

分类质量分别定义为

$$\gamma_R^{(O,\alpha)}(X) = \frac{\left| \sum_{i=1}^m R_i^{(O,\omega,\alpha)}(X) \right|}{|U|}$$

$$\gamma_R^{(P,\alpha)}(X) = \frac{\left| \sum_{i=1}^m R_i^{(P,\omega,\alpha)}(X) \right|}{|U|} \tag{10}$$

3 实例分析

表 1 为不完备区间值决策信息系统,其中 $C = \{a_1, a_2, a_3, a_4, a_5, a_6, a_7, a_8, a_9, a_{10}\}$ 为条件属性集合, $D = \{d\}$ 为决策属性集合, $U = \{x_1, x_2, x_3, ..., x_{20}\}$ 为论域,设决策信息系统的条件属性子集 族 为 $R = \{R_1, R_2, R_3, R_4\} = \{\{a_1, a_2\}, \{a_3, a_4, a_5\}, \{a_6, a_7, a_8\}, \{a_9, a_{10}\}\}$ 。本文以 $\alpha = 0.75$, $\beta = 0.49$ 为例,调整属性相似度阈值 ω ,获取不同情况下基于可能度容差关系的多粒度决策粗糙集的上下近似集。

a) 根据决策属性D划分决策类如下:

$$U / IND(\{d\}) = \{D_1, D_2\} = \{\{x_1, x_2, x_4, x_6, x_7, x_9, x_{11}, x_{13}, x_{15}, x_{17}, x_{19}, x_{20}\}, \{x_3, x_5, x_8, x_{10}, x_{12}, x_{14}, x_{16}, x_{18}\}\}$$

b) 条 件 属 性 子 集 族 $R = \{R_1, R_2, R_3, R_4\} = \{\{a_1, a_2\}, \{a_3, a_4, a_5\}, \{a_6, a_7, a_8\}, \{a_9, a_{10}\}\}$,根据定义 4~9,计算基于不完备区间值信息系统的多粒度决策粗糙集的下近似和上近似分别如下:

表 1 不完备区间值决策信息系统

(9)

U	a 1	a 2	a3	a 4	a 5	a 6	a 7	a 8	a 9	a 10	d
<i>x</i> 1	[3.22,4.87]	[7.80,9.42]	[5.27,7.14]	[1.69,3.68]	[8.53,9.670]	[2.21,4.08]	[4.43,6.07]	[7.47,8.610]	[3.96,4.58]	[6.11,7.76]	1
<i>x</i> 2	[4.21,5.18]	*	[5.23,6.45]	[1.63,3.65]	[8.97,10.59]	[2.17,3.39]	[4.05,6.09]	[7.91,9.530]	*	[7.10,8.07]	1
<i>x</i> 3	[3.00,4.24]	[8.17,9.34]	[5.31,7.02]	*	[7.87,9.610]	[2.25,3.96]	*	[6.81,8.550]	[3.33,4.50]	[5.89,7.43]	2
<i>x</i> 4	[3.69,5.47]	[8.10,9.40]	[5.62,7.40]	[1.52,3.75]	[8.89,10.27]	[2.56,4.40]	[3.96,6.19]	[7.83,9.210]	[3.26,4.56]	[6.88,8.66]	1
<i>x</i> 5	[3.01,5.64]	[8.15,9.27]	*	[1.54,3.63]	[8.56,9.890]	*	[3.98,6.07]	[7.50,9.830]	[3.31,4.43]	[5.98,8.61]	2
<i>x</i> 6	*	[8.01,9.13]	[6.08,6.87]	[1.97,3.71]	[9.08,10.31]	[3.01,3.80]	[4.41,6.15]	[9.00,10.25]	[3.17,4.29]	*	1
<i>x</i> 7	[3.15,4.59]	[8.26,9.47]	[5.62,6.98]	[1.65,3.81]	[8.34,10.21]	[2.55,3.93]	[4.06,6.22]	[8.28,10.15]	[3.42,4.63]	[6.12,7.56]	1
<i>x</i> 8	[2.88,4.79]	[8.10,9.19]	[5.47,7.04]	[1.23,3.46]	[8.41,10.25]	[2.73,4.47]	[3.64,5.87]	[8.65,10.33]	[3.26,4.35]	[5.85,7.76]	2
<i>x</i> 9	[3.41,4.81]	[7.41,8.78]	[5.86,6.77]	[1.84,3.58]	*	[3.12,4.03]	[4.25,5.99]	*	[2.57,3.94]	[6.38,7.3]	1
x 10	[3.11,5.27]	[7.52,9.88]	[5.30,6.76]	[1.12,1.81]	[8.21,9.690]	[2.56,4.02]	[3.53,4.22]	[8.29,9.770]	[2.68,5.04]	[6.08,7.24]	2
x 11	[4.23,5.20]	*	[5.13,6.35]	[1.71,3.70]	[8.82,10.47]	[2.29,3.41]	[4.15,6.19]	[7.70,9.310]	*	[7.18,8.15]	1
x 12	[3.03,4.27]	[8.20,9.37]	[5.30,7.01]	*	[7.67,9.410]	[2.23,3.94]	*	[6.80,8.530]	[3.23,4.30]	[5.77,7.21]	2
x 13	[3.71,5.49]	[8.12,9.46]	[5.52,7.30]	[1.62,3.85]	[8.77,10.01]	[2.59,4.43]	[3.92,6.15]	[7.63,9.020]	[3.16,4.30]	[6.92,8.78]	1
x 14	[3.11,5.74]	[8.23,9.36]	*	[1.52,3.61]	[8.46,9.790]	*	[3.71,5.87]	[7.40,9.730]	[3.41,4.63]	[5.68,8.41]	2
x 15	*	[8.11,9.23]	[6.09,6.88]	[1.92,3.66]	[9.18,10.41]	[3.11,4.01]	[4.52,6.26]	[9.12,10.35]	[3.27,4.39]	*	1
x 16	[3.00,4.91]	[8.15,9.24]	[5.57,7.14]	[1.27,3.50]	[8.42,10.26]	[2.63.4.12]	[3.74,5.96]	[8.55,10.23]	[3.16,4.05]	[5.72,7.63]	2
x 17	[3.42,4.34]	[7.61,8.98]	[5.76,6.57]	[1.74,3.48]	*	[3.23,4.13]	[4.15,5.89]	*	[2.67,4.05]	[6.5,7.42]	1
x 18	[3.12,4.28]	[7.55,9.91]	[5.40,6.86]	[1.11,1.8]	[8.23,9.890]	[2.46,3.9]	[3.43,4.02]	[8.19,9.570]	[2.57,4.93]	[6.18,7.14]	2
x 19	[3.17,4.61]	[8.16,9.37]	[5.52,6,88]	[1.45,3.61]	[8.36,10.26]	[2.59,3.97]	[4.17,6.33]	[8.38,10.25]	[3.52,4.73]	[6.25,7.61]	1
x 20	[4.25,5.22]	*	[5.21,6.45]	[1.73,3.72]	[8.90,10.55]	[2.30,3.42]	[4.15,6.21]	[7.75,9.360]	*	[7.19,8.16]	1

(a) 当 $\alpha = 0.75$, $\beta = 0.49$, $\omega = 0.7$ 时,基于可能度容差 关系的乐观多粒度决策粗糙集的上下近似求得为

> $\underline{\sum\nolimits_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}}(D_{1}) = \{x_{2}, x_{6}, x_{10}, x_{11}, x_{15}, x_{18}\}$ $\overline{\sum\nolimits_{i=1}^{m} R_{i}^{(O,\omega,\beta)}}(D_{1}) = \{x_{1}, x_{2}, x_{3}, ..., x_{19}, x_{20}\}$

$$\sum_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}(D_{2}) = \{x_{10}, x_{18}\}$$

$$\overline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}}(D_{2}) = \{x_{1}, x_{3}, x_{6}, x_{7}, x_{8}, x_{10}, x_{12}, x_{15}, x_{16}, x_{18}, x_{19}\}$$

基于可能度容差关系的悲观多粒度决策粗糙集的上下近似 求得为

$$\begin{split} & \underbrace{\sum_{i=1}^{m} R_{i}^{(P,\omega,\alpha)}}(D_{1}) = \{x_{2}, x_{11}\} \\ \\ & \overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(D_{1}) = \{x_{1}, x_{2}, x_{4}, x_{5}, x_{9}, x_{11}, x_{13}, x_{14}, x_{17}, x_{20}\} \\ \\ & \underline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\alpha)}}(D_{2}) = \{x_{10}, x_{18}\} \\ \\ & \overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(D_{2}) = \{x_{3}, x_{8}, x_{9}, x_{10}, x_{12}, x_{16}, x_{17}, x_{18}\} \end{split}$$

$$\begin{split} & \underline{\sum}_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}(D_{1}) = \{x_{2}, x_{4}, x_{6}, x_{11}, x_{13}, x_{15}\} \\ & \overline{\sum}_{i=1}^{m} R_{i}^{(O,\omega,\beta)}(D_{1}) = \{x_{1}, x_{2}, x_{3}, x_{4}, x_{5}, x_{6}, x_{7}, x_{9}, x_{10}, x_{11}, \\ & x_{12}, x_{13}, x_{14}, x_{15}, x_{17}, x_{18}, x_{19}, x_{20}\} \\ & \underline{\sum}_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}(D_{2}) = \{x_{3}, x_{10}, x_{12}, x_{18}\} \\ & \overline{\sum}_{i=1}^{m} R_{i}^{(O,\omega,\beta)}(D_{2}) = \{x_{3}, x_{8}, x_{9}, x_{10}, x_{12}, x_{16}, x_{17}, x_{18}\} \end{split}$$

关系的乐观多粒度决策粗糙集的上下近似求得为

(b) 当 $\alpha = 0.75$, $\beta = 0.49$, $\omega = 0.8$ 时,基于可能度容差

基于可能度容差关系的悲观多粒度决策粗糙集的上下近似 求得为

$$\underline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\alpha)}}(D_{1}) = \{x_{2}, x_{11}\}$$

$$\overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(D_{1}) = \{x_{1}, x_{2}, x_{4}, x_{5}, x_{6}, x_{7}, x_{9}, x_{11}, x_{13}, x_{14}, x_{15}, x_{17}, x_{19}, x_{20}\}$$

$$\underline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\alpha)}}(D_{2}) = \{x_{3}, x_{10}, x_{12}, x_{18}\}$$

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$$\overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(D_{2}) = \{x_{3}, x_{8}, x_{10}, x_{12}, x_{16}, x_{18}\}$$

(c) 当 α = 0.75, β = 0.49, ω =0.85 时,基于可能度容差 关系的乐观多粒度决策粗糙集的上下近似求得为

$$\sum_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}(D_{1}) = \{x_{1}, x_{2}, x_{4}, x_{6}, x_{11}, x_{13}, x_{15}, x_{20}\}$$

$$\sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}(D_{1}) = \{x_{1}, x_{2}, x_{4}, x_{5}, x_{6}, x_{7}, x_{9}, x_{10}, x_{11},$$

$$x_{13}, x_{14}, x_{15}, x_{17}, x_{18}, x_{19}, x_{20}$$

$$\sum_{i=1}^{m} R_{i}^{(O,\omega,\alpha)}(D_{2}) = \{x_{3}, x_{7}, x_{10}, x_{12}, x_{18}, x_{19}\}$$

$$\overline{\sum_{i=1}^{m} R_{i}^{(O,\omega,\beta)}}(D_{2}) = \{x_{1}, x_{3}, x_{7}, x_{8}, x_{9}, x_{10}, x_{12}, x_{16},$$

$$x_{17}, x_{18}, x_{19}, x_{20}$$

基于可能度容差关系的悲观多粒度决策粗糙集的上下近似 求得为

$$\sum\nolimits_{i=1}^{m} R_{i}^{(P,\omega,\alpha)}(D_{1}) = \{x_{2},x_{4},x_{11},x_{13}\}$$

$$\overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(D_{1}) = \{x_{2}, x_{4}, x_{6}, x_{9}, x_{11}, x_{13}, x_{15}, x_{17}\}$$

$$\sum_{i=1}^{m} R_{i}^{(P,\omega,\alpha)}(D_{2}) = \{x_{3}, x_{10}, x_{12}, x_{18}\}$$

$$\overline{\sum_{i=1}^{m} R_{i}^{(P,\omega,\beta)}}(D_{2}) = \{x_{3}, x_{8}, x_{10}, x_{12}, x_{16}, x_{18}\}$$

c)以基于可能度容差关系的乐观多粒度决策粗糙集为例, 求得三种情况下决策类的分类质量:

(a)
$$\stackrel{\text{def}}{=} \alpha = 0.75$$
, $\beta = 0.49$, $\omega = 0.7$ \bowtie

$$\gamma_o^{(\alpha,\omega)}(D) = \frac{|\{x_2, x_6, x_{10}, x_{11}, x_{15}, x_{18}\} \bigcup \{x_{10}, x_{18}\}|}{|\{x_1, x_2, x_3, \dots, x_{20}\}|} = \frac{2}{5}$$

(b)
$$\stackrel{\text{def}}{=} \alpha = 0.75$$
, $\beta = 0.49$, $\omega = 0.8$ if

$$\gamma_O^{(\alpha,\omega)}(D) = \frac{|\{x_2, x_4, x_6, x_{11}, x_{13}, x_{15}\} \bigcup \{x_3, x_{10}, x_{12}, x_{18}\}|}{|\{x_1, x_2, x_3, \dots, x_{20}\}|} = \frac{1}{2}$$

(c)
$$\stackrel{\text{def}}{=} \alpha = 0.75$$
, $\beta = 0.49$, $\omega = 0.85$ fr

$$\gamma_o^{(\alpha,\omega)}(D) = \frac{\left|\left\{x_1, x_2, x_4, x_6, x_{11}, x_{13}, x_{15}, x_{20}\right\} \bigcup \left\{x_3, x_7, x_{10}, x_{12}, x_{18}, x_{19}\right\}\right|}{\left|\left\{x_1, x_2, x_3, \dots, x_{20}\right\}\right|} = \frac{3}{4}$$

以 α = 0.75, β = 0.49为例,求得 3 种不同属性相似度阈值情况下,基于可能度容差关系的乐观多粒度决策粗糙集的决策类分类质量分别为 40%、50%和 75%。对比发现,固定阈值 α 和 β ,随着给定属性相似度阈值 ω 的不断变大,不完备区间值决策信息系统中的对象越能被正确分类,当 ω 大到一定程度所有的对象都能被正确分类。这表明调整阈值 α 、 β 和 ω ,在一定程度上可降低噪声的影响,使模型具有一定的容错能力和很强的分类能力。

为进一步验证模型能够更有效处理含有不完备区间值的决策信息系统, 当 $\alpha = 0.75$, $\beta = 0.49$, 分别令 ω 为 0.7, 0.8, 0.85,

利用文献[16]所构建的粗糙方法计算得到决策类的分类质量为29.55%,36.5%,42%;利用文献[17]所构建的粗糙集方法计算得到决策类的分类质量为26.33%,37.5%,55.75%;利用文献[24]所构建的粗糙集方法计算得到决策类的分类质量为32.5%,46%,57.5%。结果表明,本文构建的基于可能度相似容差关系的多粒度决策粗糙模型在处理不完备区间值决策信息系统时,相比于文献[16,17,24]构建的不完备区间值决策信息系统下的粗糙模型,分类质量有所提高。这是由于本文构建的新模型不仅借鉴了多粒度决策粗糙集能够从多层次、多角度综合考虑不同属性子集的优点,更能通过调整阈值。使模型具有一定的容错能力,同时充分考虑属性子集的特征,使得对象分类更为准确。

4 结束语

本文融合可能度容差关系和多粒度决策粗糙集的各自优点, 在不完备区间值决策信息系统中提出一种基于可能度容差关系 的多粒度决策粗糙模型,给出了乐观多粒度决策粗糙集和悲观 多粒度决策粗糙集两种模型的完整定义,并着重讨论了基本性 质和度量参数。其中,针对对象的划分探究了属性相似度阈值 变化对分类质量的影响。通过 ω 的不同取值可以得到程度不同 的对象分类,使得本文提出的模型具有一定的稳定性和灵活性。 接下来,将进一步研究决策规则获取和属性约简等问题。

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